

Cahawba Advisory Committee



Functional Analysis & Records Disposition Authority

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State Records Commission
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Functional and Organizational Analysis of the Cahawba Advisory Committee

Sources of Information

- Representative of the Cahawba Advisory Committee
- Code of Alabama 1975 § 41-9-252
- Code of Alabama 1975 § 41-20-3
- Alabama Government Manual (1998)

Historical Context

When Alabama was organized by the U.S. Congress as a separate territory in 1817, St. Stephens served as the temporary seat of the territorial government. In accordance with the enabling act for statehood, the first Constitutional Convention and the first session of the General Assembly were held in 1819 in Huntsville. Later on, the legislature chose Cahawba, at the confluence of the Cahawba and Alabama rivers, as the capital of the state, so the second session of the legislature met there in 1820. However, Cahawba had a reputation for flooding because of its low elevation. In 1826, those opposed to the selection of Cahawba as the permanent site of the capital were successful in persuading the legislature to move the capital to Tuscaloosa. Cahawba, known as the Old Cahawba Capital Site, has become an important archaeological site managed by the Alabama Historical Commission. In 1994, the legislature established the Cahawba Advisory Committee to advise the Alabama Historical Commission regarding the restoration and development of the Old Cahawba Capital Site.

Agency Organization

The committee is composed of sixteen (16) members. Fifteen (15) of them are appointed by the governor. The probate judge of Dallas County is an *ex officio*, nonvoting member. Appointed members are selected in a way so that each congressional district is represented by one appointed member, and the district in which Cahawba is situated is represented by eight appointed members. Five of the eight members from the district where Cahawba is located must be residents of Dallas County. Committee members serve seven years without compensation other than payment of a per diem allowance and travel expenses incurred in attending meetings or in other service under the direction of the committee. Although the committee's enabling statute allows the committee to appoint an executive director and other necessary staff members without regard to the state's merit system, no operating staff members have ever been hired by the committee. The committee's treasurer currently handles its daily routine activities and has custody of the committee's records.

Agency Function and Subfunctions

The mandated function of the Cahawba Advisory Committee is to advise the Alabama Historical Commission regarding the restoration and development of the Old Cahawba Capital Site. The

committee is one of the agencies responsible for performing the Stewardship function of Alabama government.

In the performance of its mandated function, the committee may engage in the following subfunctions.

- **Raising and Disbursing Funds.** In accordance with the Code of Alabama 1975 § 41-9-252, the committee is mandated to “promote and encourage public and private efforts to benefit the Old Cahawba Capital Site project.” The committee may “solicit, collect, and receive funds from the public and private sectors for the support, maintenance, and preservation of the site.” While the committee receives state funds, other public and private funds are often applied for and secured to supplement state funds in supporting the acquisition and maintenance of the Old Cahawba Capital Site. Acting as the fundraising arm for the Alabama Historical Commission (AHC), the committee disburses the majority of its funds to AHC, which has the full authority to “develop, renovate, preserve, maintain, operate, exhibit and publicize the Old Cahawba Capital Site.” This subfunction involves developing fundraising goals and plans, applying for grants/funds, and receiving and disbursing monies.
- **Building Public Awareness.** Code of Alabama 1975 § 41-9-252 also requires the committee to “provide statewide public awareness, public information, and education services regarding the Old Cahawba Capital Site.” This subfunction revolves around the gathering and dissemination of information essential to the creation of a general public awareness of the benefits of restoring and developing the Old Cahawba Capital Site. To promote the site, the committee works with AHC and other public/private sectors to compile educational publications, design and produce Old Cahawba Capital auto tags, and sponsor other related activities, such as Old Cahawba golf tournaments.
- **Administering Internal Operations.** A significant portion of the agency’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department, and documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency’s budget through a uniform system of accounting and reporting; authorizing travel; contracting

with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Analysis of Record Keeping System and Records Appraisal of the Cahawba Advisory Committee

Agency Record Keeping System

The Cahawba Advisory Committee currently operates a hybrid record keeping system composed of paper and electronic records.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Cahawba Advisory Committee: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Cahawba Advisory Committee are discussed below:

- **Records documenting the application, receipt, and disbursement of grants.** This series consists of various financial records that document the application for, receipt, and expenditure of grant funds from public and private sources. Records found in these files may include grant applications, award letters, purchase orders, receipts, interim financial reports, and other related supporting documents. They should be kept for three years after the submission of the final financial report.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Raising and Disbursing Funds

- **Old Cahawba Capital Site Long Range Plan.** As part of the efforts in carrying out its responsibilities, the committee creates the long-range plan to develop, renovate, preserve, maintain, operate, exhibit and publicize the Old Cahawba Capital Site. (**Bibliographic Title: Old Cahawba Capital Site Long Range Plan**)

Building Public Awareness

- **Resource Materials.** These records are gathered and maintained by the committee as a visual sampling of the Old Cahawba Capital Site for use in building public awareness and support for the site. Resource materials may include, but are not limited to, photographic images, maps, draft site management plan, pamphlets, brochures, and flyers. Although some of these materials may not be created by the committee directly, the combination of a variety of site resource materials in one location would definitely make this series

permanent records. (**Bibliographic Title: Subject Files**)

Administering Internal Operations

- **Meeting Minutes of the Committee.** The meeting minutes of the committee document the decisions and actions of the committee. These records provide important information and documentation of the committee's actions that may not be found elsewhere.
(**Bibliographic Title: Meeting Minutes**)

Permanent Records List Cahawba Advisory Committee

Raising and Disbursing Funds

1. Old Cahawba Capital Site Long Range Plan

Building Public Awareness

1. Resource Materials

Administering Internal Operations

1. Meeting Minutes of the Committee

*indicates records that the Cahawba Advisory Committee determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff is available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Cahawba Advisory Committee Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff in cooperation with representatives of the Cahawba Advisory Committee. The RDA lists records created and maintained by the Cahawba Advisory Committee in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Cahawba Advisory Committee to implement records destruction. Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Cahawba Advisory Committee. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future

business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

Raising and Disbursing Funds

OLD CAHAWBA CAPITAL SITE LONG RANGE PLAN

Disposition: PERMANENT RECORD.

Records documenting agreements and contracts for activities relating to fund raising and disbursement

Disposition: Temporary Record. Retain 6 years after expiration of the agreement/contract.

Records documenting the application, receipt, and disbursement of grants

Disposition: Temporary Record. Retain 3 years after the submission of the final financial report.

Records documenting business transaction activities with banks or financial institutions

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the transaction occurred.

Building Public Awareness

RESOURCE MATERIALS

Disposition: PERMANENT RECORD.

Administering Internal Operations: Managing the Agency

MEETING MINUTES OF THE COMMITTEE

Disposition: PERMANENT RECORD.

Appointment Letters

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the term expired.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.

System Documentation (hardware/software manuals and diskettes, warranties, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirement

Under the Code of Alabama 1975, § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Cahawba Advisory Committee (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in January of each year. In addition, the agency should make every effort to establish and maintain a quality record keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.
- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists

are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on January 23, 2003.

Edwin C. Bridges, Chairman
State Records Commission

Date

By signing below, the agency acknowledges receipt of the retention periods and requirements established by the records disposition authority.

Carl Morgan, Jr., Chairman
Cahawba Advisory Committee

Date